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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/802,672	03/16/2004	Sourabh Satish	SYMAP044	2680
21912 7590 02/19/2009 VAN PELT, YI & JAMES LLP 10050 N. FOOTHILL BLVD #200 CUPERTINO, CA 95014				
EXAMINER DEBNATH, SUMAN				
ART UNIT 2435		PAPER NUMBER		
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Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary

Application No.

10/802,672

Applicant(s)

SATISH, SOURABH

Examiner

SUMAN DEBNATH

Art Unit

2435

Period for Reply -- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 26 November 2008.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-9, 11-13, 15 and 16 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-9, 11-13, 15 and 16 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO/SF/08)
Paper No(s)/Mail Date _____
- 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date _____
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: _____

DETAILED ACTION

1. Claims 1-9, 11-13 and 15-16 are pending in this application.
2. Claims 1-9, 11-13 and 15-17 are currently amended.
3. Claims 10, 14 and 18-20 are cancelled.
4. The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office Action.

Continued Examination Under 37 CFR 1.114

5. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on November 26, 2008 has been entered.

Claim Rejections - 35 USC § 103

6. Claims 1-9, 11-13 and 15-16 are rejected under 35 U.S.C. 103(a) as being unpatentable over Tajalli et al. (Pub. No.: US 2004/0143749 A1) (hereinafter "Tajalli") and further in view of Connor et al. (Pub. No.: US 2005/0038981 A1) (hereinafter "Connor") and Brown et al. (Pub. No.: US 2003/0079179 A1) (hereinafter, "Brown").
7. As to claim 1, Tajalli discloses a method of providing security, comprising:

accessing a file configured to store operational information comprising an identification of one or more resources accessed by a process during initialization of the process ([0020], [0057], see also FIG. 4, [0063] – [0066], [0134]),

determining a first behavior using the operational information, wherein the first behavior is associated with the process ([0066], “...define the permitted behavior of applications running on the agents”, see also [0044], [0054], [0109], [0127]);

monitoring the process ([0053], [0063]); comparing a second behavior with the first behavior, wherein the second behavior is attempted by the process [0133], “unacceptable behavior”, see also [0044], [0082]); and

performing a predetermined responsive action if the second behavior is different from the first behavior ([0081] – [0082], see also [0133]–[0134]);

wherein determining the first behavior includes identify the one or more resources ([0066], “...define the permitted behavior of applications running on the agents”, see also [0044], [0054], [0109], [0127]) and wherein the second behavior is determined to be different from the first behavior if the second behavior comprises an attempt by the process to access a resource not included in the one or more resources ([0133], “unacceptable behavior”, see also [0044], [0081], [0082]).

Tajalli doesn't explicitly disclose accessing a prefetch file; which prefetch file an operating system with which the process is associated, or a component or module of the operating system, is configured to use in the event of a subsequent initialization of the process to prefetch at least one of said one or more resources prior to access to said at least one of said one or more resources being requested by the process;

wherein determining the first behavior includes parsing the prefetch file to identify the one or more resources.

However, Connor discloses accessing a prefetch file; which prefetch file an operating system with which the process is associated, or a component or module of the operating system, is configured to use in the event of a subsequent initialization of the process to prefetch at least one of said one or more resources prior to access to said at least one of said one or more resources being requested by the process (abstract, [0017]). Therefore, it would have been obvious to one of ordinary skill in the art at the time of the invention was made to modify the teaching of Tajalli as taught by Connor in order to accelerate the initialization process of the operating system.

Although Tajalli teaches determining the first behavior includes processing files to identify the one or more resources ([0109], [0054]), neither Tajalli nor Connor explicitly disclose parsing the prefetch file. However, Brown discloses parsing the prefetch file ([0053], see also FIG. 9, step 930, which describes parsing prefetch file to identify a specific criteria). Therefore, it would have been obvious to one of ordinary skill in the art at the time of the invention was made to modify the teaching of Tajalli and Connor as taught by Brown in order to enhance the accessing of a prefetch file for faster processing.

8. As to claim 16 and 17, these are rejected using the same rationale as for the rejection of claim 1.

9. As to claim 2, Tajalli discloses in an event the second behavior is determined to be different from the first behavior, the second behavior is determined to be disallowed ([0133], "unacceptable behavior", see also [0044], [0081], [0082]).

10. As to claim 3, Tajalli discloses wherein the first behavior is one of a plurality of behaviors determined using the operational information ([0066], "...define the permitted behavior of applications running on the agents", see also [0044], [0051], [0054], [0109], [0127]).

11. As to claim 4, Tajalli discloses wherein the first behavior is one of a plurality of behaviors determined using the operational information ([0066], "...define the permitted behavior of applications running on the agents", see also [0044], [0054], [0109], [0127]), and in the event the second behavior is determined to be different from the plurality of behaviors, the second behavior is determined to be disallowed ([0133], "unacceptable behavior", see also [0044], [0081], [0082]).

12. As to claim 5, Tajalli discloses further comprising determining that the second behavior is disallowed ([0133], "unacceptable behavior", see also [0081], "...as applications request and use resources, looking for requests or uses that depart from the acceptable behavior").

13. As to claim 6, Tajalli discloses further comprising determining that the second behavior is disallowed and performing a predetermined action ([0133], [0106], [0081]).

14. As to claim 7, Tajalli disclose wherein the predetermined action includes preventing the second behavior from succeeding ([0133], [0106], [0081]).

15. As to claim 8, Tajalli discloses wherein the predetermined action includes generating an event associated with the second behavior ([0081], [0082], [0106], "log data").

16. As to claim 9, Tajalli discloses wherein determining the first behavior using the operational information is performed when the process is not operating ([0066], [0082]).

17. As to claim 11, Tajalli doesn't explicitly disclose wherein the operational information is used to improve process initialization time. However, Connor discloses wherein the operational information is used to improve process initialization time (abstract, [0017]). Therefore, it would have been obvious to one of ordinary skill in the art at the time of the invention was made to modify the teaching of Tajalli as taught by Connor in order to accelerate the initialization process of the operating system.

18. As to claim 12, Tajalli discloses wherein the operational information is configured on a per user basis ([0205], "The Profiler 1102 ca be used by users to generate BCDs 305 for their own custom applications").

19. As to claim 13, Tajalli discloses wherein the operational information includes component access information ([0020], "...each process set has a corresponding behavior control description, and controlling access to system resources by each process ..").

20. As to claims 14 and 15, Tajalli discloses a database (FIG. 4). Tajalli doesn't explicitly disclose includes a prefetch file. However, Connor discloses superfetch file ([0017]). Therefore, it would have been obvious to one of ordinary skill in the art at the time of the invention was made to modify the teaching of Tajalli as taught by Connor in order to accelerate the initialization process of the operating system.

21. Examiner's note: Examiner has cited particular columns and line numbers in the references as applied to the claims above for the convenience of the applicant. Although the specified citations are representative of the teachings in the art and are applied to the specific limitations within the individual claim, other passages and figures may be applied as well. It is respectfully requested from the applicant, in preparing the responses, to fully consider the references in entirety as potentially teaching all or part

of the claimed invention as well as the context of the passage as taught by the prior art or disclosed by the examiner.

Response to Arguments

22. Applicant's arguments with respect to claims 1-9, 11-13 and 15-16 have been considered but are moot in view of the new ground(s) of rejection.

Conclusion

23. Any inquiry concerning this communication or earlier communications from the examiner should be directed to SUMAN DEBNATH whose telephone number is (571)270-1256. The examiner can normally be reached on 8 am to 5 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kim Y. Vu can be reached on 571 272-3859. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/S. D./
Examiner, Art Unit 2435

/Kimyen Vu/
Supervisory Patent Examiner, Art Unit 2435